

Applicant : William R. Hambrecht et al.
Serial No. : Continuation Application
Filed : August 4, 2003
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Attorney's Docket No.: 13085-007002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : William R. Hambrecht et al. Art Unit : Unknown
Serial No. : Continuation Application Examiner : Unknown
Filed : August 4, 2003
Title : AUCTION SYSTEM AND METHOD FOR PRICING AND ALLOCATION
DURING CAPITAL FORMATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PRELIMINARY AMENDMENT

This amendment is being filed concurrently with an application that is a continuation of pending patent application. The amendment includes a total of 16 pages including 1 sheet of Abstract and 18 attached replacement drawing sheets. Please amend the application as follows:

Amendments to the specification begin on page 2 of this amendment.

Amendments to the drawings begin on page 7 of this amendment.

Amendments to the claims are reflected in the listing of claims which begins on page 8 of this amendment.

Remarks begin on page 15 of this amendment.

A new abstract begins on page 16 of this amendment.

Replacement drawing sheets 1-18 are attached.